

FORM PTO-1449 (Modified)	ATTY. DOCKET NO.	SERIAL NO.
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT	1 4918 720 CON3 402E-476112U S	09/101,544 Herewith
(Use several sheets if necessary)		10/082747
·	APPLICANT	
•	Marcus D. Ballinger et al.	
	FILING DATE July 17, 1998 Feb. 22,2002	GROUP ART UNIT
	-July-17, 1998 Peb. 20 2062	1646

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriat
D6	Al	4,968,603	11/06/90	Slamon et al.	435	6	
DE	A2	5,183,884	02/02/93	Kraus et al.	536	23.5	·
DE DE	A3	5,367,060	11/22/94	Vandlen et al.	530	399	
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FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANS	
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767	B1	444,961 A1	9/4/91	Europe				
	B2	505,148	9/23/92	Europe				
	B3	599,274	6/1/94	Europe				
-	B4	WO 92/18627	10/29/92	PCT				

OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

X	2	Cl	Ayala et al., "Multiple Alleles," <i>Modern Genetics</i> , Benjamin/Cummings Pub. Co., Menlo Park, CA, 45-48 (1980).
		C2	Barbacci et al., "The structural basis for the specificity of epidermal growth factor and heregulin binding," <i>Journal of Biological Chemistry</i> (published erratum appears in <i>J. Biol. Chem.</i> Nov. 24, 1995; 270(47):28494) 270(16):9585-9589 (Apr. 21, 1995).
J	-	C3	Bass, et al., "Hormone Phage: An Enrichment Method for Variant Proteins with Altered Binding Properties," Proteins: Structure, Function, and Genetics 8(4):309-314 (1990).

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).

(Information Disclosure Statement — Section 9 PTO-1449 (Modified) [6-1])

PAGE 1 of 23

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1	C4	Brockes, "Assay and isolation 147:217-225 (1987).							
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4	C6	Brockes et al., "Purification an pituitary," Journal of Biologica				vth fac	tor from th	e bovine	
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Docket No.: 14918-720 CON2

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72	C7	Burden et al., "Neuregulins an oncogenesis," Neuron 18(6):84	•	•	odule in or	ganogenesi	s and	
	C8	Burgess et al., "Biosynthetic p			Glycosylatic	n, trafficki	ng, and	i
4		regulated cleavage from the ce (1995).	_				_	
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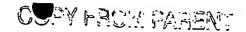


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1/4	B13	WO 96/36720	11/21/96	PCT		 	
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50	C10	Carraway et al., "The erbB3 ge				Biological	Chemistry
10		269(19):14303-14306 (1994).	p			- 1011-011	,
5	Cli	Carraway, et al., "Neuregulin-2387:512-516 (1997).	2, a new liga	nd of ErbB3/ErbB4-recepto	r tyrosine	kinases," N	ature
سلم	-C12	Chang, et al., "Ligands for Erb 512 (1997).	B-family rec	eptors encoded by a neureg	ulin-like g	ene," Natur	re 387:509-
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DG	C13	Chau, B. N. et al., "The EGF R by Heregulin Residue Glutama 886 (1996).	ite 195," <i>Bio</i>	chemical & Biophysical Re	search Con	nmunicatio	ns 229:882-
	C14	Chu et al., "Regulation of the a				ant ARIA:	an in vitro
	-E15	model for transynaptic gene re Corfas & Fischbach, "The num				reased by	ARIA, an in
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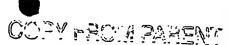
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l G	C17	Scanning Mutagenesis," Sciente Cunningham et al., "Production	ce 244:1081-1	1085 (June 1989).			
K		Receptor," EMBO Journal 13(11):2508-251	5 (1994).			
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(Information Disclosure Statement — Section 9 PTO-1449 (Modified) [6-1])

PAGE 6 of 23

Docket No.: 14918-720 CON2

FORM PTO-1449 (Modified)



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10	C19	Danilenko et al., "Neu differen				ation and diff	erentiation
13		in excisional wounds," FASEB					- C4) - 3.1
	C20	Falls et al., "ARIA, a Protein T Ligand Family," Cell 72:801-8	15 (1993).				
	_C21	Friess et al., "Enhanced erbB-3	•		er Correl	ates With Tu	mor
		Progression," Clinical Cancer	Research 1:1	413-1420 (1995).			
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	B30 B31	DOCUMENT NUMBER	DATE	COUNTRY	CLASS		yes no	
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0	C25	Jacobsen et al., "High-Resoluti		Structure of the EGF-lik	e Domain	of Hereg	gulin-a"		
		Biochemistry 35(11):3402-341				4.4	D 01		
1	C26	King et al., "Ligand-independe oncogene product is induced by					bB-2/neu	proto-	
11	C27	Kokai et al., "Synergistic Intera					nsformat	tion of	
	<i>(2)</i>	Rodent Fibroblasts," Cell 58:23							
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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT	14 918-720 CONZ 402E-476112US	09/101,544 Herewith
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REFERENCE DESIGNATION

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OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

De	C28	Kraus et al., "Demonstration of ligand-dependent signaling by the erbB-3 tyrosine kinase and its constitutive activation in human breast tumor cells," <i>Proc. Natl. Acad. Sci.</i> 90:2900-2904 (1993).
	C29	Kraus et al., "Isolation and characterization of ERBB3, a third member of the ERBB/epidermal growth factor receptor family: Evidence for overexpression in a subset of human mammary tumors," <i>Proc. Natl. Acad. Sci. USA</i> 86:9193-9197 (1989).
1	_C30	Kunkel et al., "Rapid and Efficient Site-Specific Mutagenesis Without Phenotypic Selection," Methods in Enzymology 154:367-382 (1987).

EXAMINER Daniel Smelt DATE CONSIDERED 6/17/2003

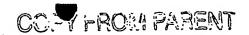
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7/	C31	Lee et al., "Assignment of Her	egulin (HGI) to Human Chromosome	8p22-p11 b	y PCR Ana	lysis of
26		Somatic Cell Hybrid DNA." G	Genomics 16:	790-791 (1993).			
	C32	Lemke & Brockes, "Identifica (1984).					
ノ	C33	Lemoine et al., "The erbB-3 ge	ene in humai	n pancreatic cancer," J. Pa	thol. 168:26	9-273 (199	2).
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7	C35	Levi et al., "The Functional Cl							
		after Transplantation into a Ga (1994).							
71	C36	Lewis et al., "Growth Regulati							
	_	for the Requirement of ErbB2		Component in Mediating H	leregul	in Re	esponsiven	ess,"	
		Cancer Research 56:1457-146	5 (1996).						
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K	C37	Li et al., "Identification of Gas Neuroscience 16(6):2012-2019	(1996).				
	C38	Lowman et al., "Selecting High 30:10832-10838 (1991).					
d	-C39	Lu et al., "Post-translational pr Expressed in Mammalian Cells					
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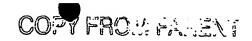
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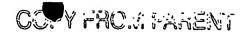
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7	C40	Marchionni et al., "Glial grow		alternatively spliced erbB2	ligands e	xpressed in	the nervous
		system," Nature 362:312-318					
	C41	Meyer & Birchmeier, "Distinc				nymal and no	euronal cells
	C42	during mouse development," I Nagata et al., "Solution structu				hannalin a	a line of for
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	C44	2 suggests complex ligand-rec	entor relation	nships." EMBO Journal 12(3):961-971	(1993).	ILIQUIILIK-		
1	C45	Peles et al., "Isolation of the N	eu/HER-2 St	timulatory Ligand: a 44 Kd	Glycoprote	in That In	luces		
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Y		survival factor for astrocytes,"					•	
27.1	C47	Plowman et al., "Heregulin inc	luces tyrosine	phosphorylation of HER4	/p180erbB4,	Nature (Le	tters to)
	ľ	Nature) 366:473-475 (Dec. 2,	1993).					
	C48	Plowman et al., "Ligand-special growth factor receptor family,"					rmal	
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	, (4)	examination of c-erbB-3 protein	in expression	in adenocarcinomas," J. P	athol. 16	8(3):275-280	(1992).		
7)	C50	Puddicombe et al., "The Signif	icance of Va	line 33 as a Ligand-specific	c Epitop	e of Transform	ning		
		Growth Factor a" Journal of B	Growth Factor a" Journal of Biological Chemistry 271(26):15367-15372 (1996).						
1	-C51	Rajkumar et al., "Expression o monoclonal antibody RTJ1," P					ned by		
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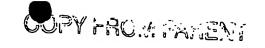
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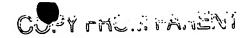
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	C52	Sadick et al., "Analysis of Her	egulin-Induc	ed ErbB2 Phosphorylation	with a H	ligh-Throughp	ut Kinase
		Receptor Activation Enzyme-I (1996).	inked Immu	nosorbant Assay," Analytic	cal Bioch	nemistry 235:2	07-214
	C53	Sambrook et al., "Small-scale	Preparations	of Single-stranded Bacteric	phage N	113 DNA," M	olecular
- 11		Cloning: A Laboratory Manua	<i>I</i> , 2nd ed., No	ew York: Cold Spring Harb	or Labo	ratory Press, 1	:4.29-4.30
$-\!$		(1989).					
1	- C 54	Sanger et al., "DNA Sequencin 74(12):5463-5467 (1977).	ig with Chair	n-terminating Inhibitors," P	roc. Nat	l. Acad. Sci. U	/SA
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	C38	HER-2/neu Oncogene," Science		-	******			, o. u.	
-	C59	Slamon et al., "Studies of the I			reast an	id Ov	arian Can	cer,"	
		Science 244:707-712 (1989).							
	- C 60	Sliwkowski et al., "Coexpressi					h Affinity	Recept	or
-		for Heregulin," Journal of Bio	logical Chem	istry 269(20):14661-14665	5 (1994)).			
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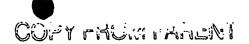
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16	C55	Sanidas et al., "Expression of (1993).								
	C56	Scott et al., "Searching for Peptide Ligands with an Epitope Library," Science 249:386-390 (1990). Sklar et al., "A Novel Growth Factor for Muscle-rhGGF2," J. Cell Biochem. (abstract noW462) p. 540								
سلس	Æ57	Sklar et al., "A Novel Growth (1994).	Factor for M	luscle-inGGF2, J. Cell Bi	ocnem	. (abs	iract no w	402 <i>)</i> p	. 540	
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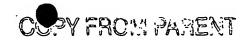
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